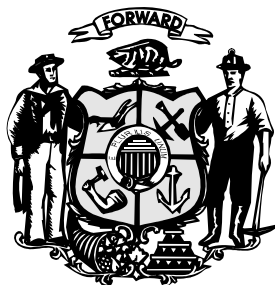


STATE OF WISCONSIN
Public Records Board

SCOTT WALKER
GOVERNOR

Georgia Thompson
Executive Secretary



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Minutes
Public Records Board
August 18, 2014; 1:30pm – 4:00pm
Legislative Audit Conference Room
22 East Mifflin Street, 4th Floor

Board Members Present: Matt Blessing, Sandra Broady-Rudd, Carl Buesing, Mary Burke, Bryan Naab, Melissa Schmidt, and Peter Sorce

1) Call To Order: 1:32 PM

2) Minutes from May 12, 2014: The Board reviewed the draft minutes. Sandra Broady-Rudd moved, seconded by Bryan Naab, that the minutes be approved as submitted. The motion passed unanimously.

3) Comments from Chair: The Board Chair, Matt Blessing, gave an update on the status of the new preservation facility to be developed on South Thornton Avenue for the Wisconsin Historical Society and Wisconsin Veterans Affairs. As the facility will house two separate state agencies the Department of Administration will own and operate the building. If development plans continue as expected, the lot may be ready for ground-breaking in early 2015 with an expected completion in mid-2017. In addition, the Board Chair commented that the next Historical Society biennial budget will include three requests which directly correlate to its work with the Public Records Board: a limited-term employee for the new facility, a reference and retrieval position at the new facility in the second year of the biennium, and a position to work with a trusted digital repository. Mr. Blessing then commented on a grant opportunity offered by the National Historical Publications and Records Commission the State Historical Society intends to apply for in December. The grant has funds specifically set aside for state archives working on best practices for the management of electronic records. The Historical Society could potentially tie the grant funds to a new program, Preservica, which they will be implementing. The Board Chair also noted the Historical Society will be asking state agencies, large and small, if they would like to be part of the pilot program using Preservica and if so, some funding may be available for these agencies. Lastly, the Board Chair asked all Board members to bring their calendars to the November 10, 2014 meeting to decide on dates for the 2015 Public Records Board calendar.

4) Committee Reports

a) Records Management Committee

- i) **3rd Quarter Index:** Committee Chair, Bryan Naab, noted that this quarter's submissions from agencies were typical and needed minimal follow-up. Of note, however, on the Public Records Board Records Series Index is the proposed Legal Affairs General Records Schedule. Due to the questions raised at the Committee meeting on July 15, 2014, this submission was withheld. The Committee's comments will be presented to the Legal Affairs General Records Schedule workgroup for follow-up. Also of note was the Waukesha County submission encompassing renewals for several county department record series. Two County representatives attended the Committee meeting and explained their internal processes. They then requested approval for shorter retention periods than currently stated in the County General Schedule. The Committee Chair reviewed the rationale presented by the County, the Committee's discussion, and the Committee's recommendation. The Committee recommends: 1) the Board approve the Waukesha County submissions as submitted; 2) the Committee and Board consider future County submissions for shorter retention periods on a case-by-case basis for approval if an appropriate, reasonable justification is provided; and, 3) the Board reach out to the Counties Association which drafted and

submitted the current County General Schedule to request the Schedule be reviewed before the May 2020 sunset date. The Board discussed the Committee's recommendations and agreed with the first and second items as presented. At this time Carl Buesing moved, seconded by Sandra Broady-Rudd, that the Public Records Board Records Series Index be approved as submitted. The motion passed unanimously.

The third recommendation was discussed further and the Board decided it was more appropriate to contact the County Corporation Counsel Association instead of the Counties Association as they are more involved with record retention. Carl Buesing said he would contact the County Corporation Counsel Association. The Board members agreed that good communication with the Counties Association would still be necessary and options, including public hearings or attending the Counties Association meeting, were discussed. The Board decided to wait until the revised draft was closer to completion before deciding with which option to move forward. Carl Buesing moved, seconded by Mary Burke, that the Board reach out to the Local Government record person at the State Historical Society, Virginia Frittsch, and the Waukesha County counsel whom attended the Committee meeting and invite them to attend the November 10, 2014, Board meeting to discuss revising the County General Schedule. The motion passed unanimously.

The Committee Chair said that the Committee was again unable to review the Information System Checklist because the document drafter was unable to attend the meeting. The Committee plans to review the document at their October 14, 2014, meeting.

b) Records Resource Management Committee: The Committee Chair, Sandra Broady-Rudd, stated the Committee had not met over the summer. They have a meeting scheduled for September to discuss Social Media as records. She noted other topics on the Committee's radar include 'bring your own device' and instant messaging. The Chair requested that Board members contact her with other future topic ideas.

c) Records Officer Council

- i) **General Schedule Updates:** The Council Chair, Georgia Thompson, provided updates on the progress of General schedules as follows: Information Technology was presented to the Administrative Officers Council with their comments due September 5, 2014. A final draft is expected for review during the fourth quarter review cycle. Legal Affairs was submitted for review and subsequently held this quarter as discussed previously. The Council has noted several updates that need to be made to the Administrative Records General Schedule. A committee has been formed to draft a few additional record series' regarding Public Information Office and Communication Office records to be added to the Administrative General Schedule with an expected completion in the second quarter 2015. The Council will begin renewal work on both the Forms and Mail Management General Schedules in the next month. The Council Chair noted that all hyperlinks in the current General Schedules were reviewed and updated as needed.
- ii) **Committee Updates:** The committee working on creating a standardized template for all General Schedules and revising the existing Introduction to General Schedules has presented a draft for review by the Council. They may have final drafts for review by the Records Management Committee during the fourth quarter review cycle. The training committee is moving forward with their work on several topics. Initially each topic will have a PowerPoint presentation and corresponding one page summary sheet. These topics will be part of an overall toolkit for Record Officers to use when training within their agency. The committee may have some of the modules ready for review during the fourth quarter 2014.

d) Policy Committee

- i) **Guidelines for the Management and Retention of Public Records Email:** The Committee Chair, Matt Blessing, asked Mary Burke as the ad hoc workgroup chair for an update on the document revisions. She stated the work group comments have mostly been received and that they need to be incorporated in to the revised draft. The work group intends to have a draft by the November 10, 2014, meeting.

- ii) **Monitoring and Surveillance Recordings:** The Committee Chair clarified that the record series in the Facilities General Schedule 'Monitoring and Surveillance Recordings' only pertains to facility related records. Georgia Thompson then discussed a summary document which was prepared for, and presented to, the Committee at its August 7, 2014, meeting summarizing the manner in which 19 governmental entities outside of the State of Wisconsin treat the retention of surveillance and monitoring records. The Committee agreed that a wide variety of retention periods exist for these types of records and that the Wisconsin Facilities General Schedule was not inconsistent with records series in other states and should remain in place. Georgia also reviewed a conference call with Records Officers and other agency experts on the topic which brought forward challenges balancing current guidelines and policies with the practical issues of retention, costs, volume, resources, special instances that may affect the 120 day standard of retention and the storage difficulties with both new and older technology. Mary Burke agreed to review the topic in advance of the next Committee meeting with the help of the other Board attorneys and provided ample notice of the meeting date is received.
- iii) **Records Retention Disposition Extensions:** Georgia Thompson distributed the current policy statement and form used to request an extension of a records disposition authorizations (RDAs) sunset date. The statement and form were approved by the Board in May 2010. She reviewed the current RDA renewal process and how the extension request was intended to fit in to the process. Then she discussed the disparity between the intentions of the extension request, the actual way the request has been used, and noted that 39% of agency RDAs are beyond their sunset date. She presented this information to the Committee at their August 7, 2014, meeting and they agreed that the topic could be brought forward. A request is being made to revise the language and time frames in the current policy as well as update the existing form accordingly. Several Board members asked questions about the effect the lack of renewal of RDAs has had. Georgia noted one significant issue is the continued 'holding' of inventory from the disposition cycles at the State Records Center using the justification that the RDA is being revised. Some of the Board members pointed out that continued storage beyond the life of a record is an inefficient use of state funds. The Board members inquired how agencies are currently notified when a RDA will sunset then discussed what the Board's responsibility is and what they could do to encourage renewal of sunset RDAs. The Board decided to utilize the Annual Report which is sent to agency Deputy Secretaries to address the issue. No decision was reached on the request to update the extension policy language and form.

5) Other Business

- a) **Open Board Position:** The Board Chair announced that Scott Kowalski has resigned from the Board for personal reasons. Scott was the Governor's Small Business Designee and served as the Board's vice-chairman. There was a brief discussion on the vacant position and steps to having it filled. The Board Chair is optimistic the position can be filled in early 2015.
- b) **State Records Center Updates:** Georgia Thompson noted that Kathryn Egeland and she are working on the revisions requested by the Board to the PRB-001 form to better fulfill the statutory requirements of maintaining a PII Registry and addressing the need for justifications of permanent retention requests. These revisions will be presented to, the Record Officer Council then the Records Management Committee before coming to the Board. Georgia discussed the history of the Inventory Review project Kathryn is in the process of completing. She is working with agency Record Officers to review each piece of inventory their agency has stored at the State Records Center (SRC). Currently, the project has generated 26,884 updates or an update percentage of 56% of reviewed inventory. These updates include date range, event date, and RDA changes. Georgia also stated that the Versatile software used for RDA and inventory management by the SRC and state agencies will have a version upgrade in September. Few, if any, changes are expected for agency front end users. The SRC staff will see the majority of the changes. Kathryn will coordinate the upgrade and any necessary training. Georgia and Kathryn are drafting a manual for new Record Officers, or those with minimal dedicated Record Officer time. They expect to have a draft for review by the Records Management Committee in the first quarter of 2015.

Meeting Adjourned at 3:44 PM.

The next regular meeting is scheduled for November 10, 2014, 1:30 – 4:00pm, at the Legislative Audit Bureau, Conference Room, 4th Floor.